



PROBATION AND PAROLE BUREAU STANDARD OPERATING PROCEDURES

Procedure No.: P & P 20-11	Subject: PERFORMANCE APPRAISAL
Chapter 20: PERSONNEL	Page 1 of 9
	Revision Date: 12/10/01; 06/17/02; 03/14/03; 08/01/05; 06/12/06
Signature: /s/ Ron Alsbury	Effective Date: 06/01/00

I. BUREAU DIRECTIVE: Probation and Parole Bureau management and supervisors will conduct employee performance pre-appraisals and probationary appraisals on all new employees. Thereafter, annual and other appraisals will be conducted. Appraisals will be designed and conducted to inform employees of job expectations, duties and standards, and to evaluate and inform employees regarding their job performance.

II. AUTHORITY:

2-18-101, M.C.A.

DOC 1.3.45

M.O.M. 3-0115

M.O.M. 3-1025

Definitions

Performance Appraisal

Performance and Management Evaluation

Grievances

III. DEFINITIONS:

Annual Appraisal means the work performance review and rating of a permanent employee within a one-year period.

Appraiser means an employee's immediate supervisor or person with the responsibility for assigning, reviewing and evaluating the employee's work.

Performance Standard means an acceptable level of performance for a specific duty/responsibility, job-related criteria for measurement, specific to the duties and responsibility of the position such as a product to be produced (quantity and quality), result to be achieved or other consequence to be brought about or specific job behavior to be displayed. Standards may not be expressed as personal traits.

Pre-appraisal means a meeting with an employee that provides the employee oral and written notice of the duties, responsibilities and standards of the work that will be reviewed and rated.

Probationary Appraisal means the work performance review and rating of an employee who has not completed a trial or probationary period.

Promotion/Demotion Appraisal means the work performance review and rating that occurs before a promotion or demotion takes place.

IV. PROCEDURES:

Probation & Parole will be using the Performance Management Program. See attached *P&P 20-11 (A) Performance Management Program - Manual* for guidance and instruction on the assessment process. Some helpful tools for this process are as follows:

Procedure No.: P & P 20-11	Chapter: Personnel	Page 2 of 9
Subject: PERFORMANCE APPRAISAL		

- *P&P 20-11 (B) Supervisor's Checklist*
- *P&P 20-11 (C) Employee Checklist*
- *P&P 20-11 (D) Performance Planning Worksheet (Optional)*

This optional performance planning form is designed to help employees and supervisors plan Performance Goals. Space is provided to record resources required and potential obstacles that will contribute to or hinder achievement of results. This form may also be used by managers to distribute those uniform performance goals established for employees assigned the same or similar duties. The worksheet should be completed independently by both supervisor and employee before the Performance Planning meeting.

- *P&P 20-11 (E) Individual Performance Development Plan*

This form is used to help supervisors and employees build specific developmental plans geared toward short and long-term career goals. It will outline training and/or project assignments either leading to mastery of the current position or to prepare for future positions. This plan becomes the visible evidence of management's commitment to employee development for those who perform at expected levels.

A. Pre-Appraisals

1. A pre-appraisal interview will be conducted within the first thirty days of employment for employees new to State employment or employees hired or assigned to a new position.
2. The pre-appraisal interview will be scheduled in advance and be face to face.
3. The supervisor and employee will have written copies of the pre-appraisal form that lists the essential/critical duties of the position and will review each duty and job expectation.
4. At the conclusion of the interview, the employee and supervisor will sign and date the pre-appraisal forms. One copy will be filed in the Helena office personnel file, one copy will be provided to the employee, and the supervisor will retain a copy.

B. Probationary Appraisal

Probationary/trial appraisal interviews will be conducted on all staff at three (3) months, six (6) months and at twelve (12) months after the date of hire or position change or, if the probationary period is extended, at the end of the extension period.

C. Annual Appraisal

Annual appraisal interviews will be conducted no later than one year from the date of the final Probationary/Trial Appraisal.

D. Promotion or Demotion Appraisal

Whenever an employee of the Department is promoted, demoted or assigned a new supervisor, the prior supervisor shall conduct an appraisal, and the new supervisor shall conduct a pre-appraisal.

E. Notices

The Helena office Human Resource staff or designee will give the supervisor and employee thirty days notice of the pending appraisal prior to the end of the probationary, annual or other

Procedure No.: P & P 20-11	Chapter: Personnel	Page 3 of 9
Subject: PERFORMANCE APPRAISAL		

appraisal period. The supervisor is required to schedule the interview date and time with the employee within the thirty-day period.

F. Interview Requirements

Appraisals must be conducted in person. Supervisors are not permitted to give employees the appraisal for review, comment and signature without the personal interview. Appraisal interviews will be conducted in a place, which is private and no telephone or other interruptions are allowed except in a major emergency.

G. Ratings

Appraisers shall evaluate employee performance on a standard instrument determined by the Bureau. One of following rating systems must be used:

1. A rating scale with a minimum of three ratings. Ratings other than standard must be accompanied with written comments; or
2. An essay evaluation on each job standard which must, at a minimum, communicate the level of performance achieved.

H. Agency Review

The supervisor's immediate supervisor will review the performance standards, written appraisal, and any employee rebuttal to ensure compliance with this procedure. Supervisors are encouraged to review a completed performance appraisal with their immediate supervisor prior to conducting the appraisal with the employee.

After the performance appraisal has been conducted with the employee, the reviewer may not change the ratings or written evaluation unless the ratings or written evaluation are out of compliance with the statute, M.O.M. or DOC policy. The supervisor conducting the job performance appraisal may change the rating or comments based on a rebuttal if the employee is able to demonstrate to the supervisor's satisfaction that there is an error in the ratings.

I. Employee Review

Employees are required to sign the written appraisal document indicating their review. If an employee refuses to sign, a supervisory witness (other than the appraiser) should sign and date the form. The employee will be provided a copy of the completed appraisal.

J. Rebuttal

If the employee disagrees with the appraisal, the employee has a right to submit, within ten working days, a written rebuttal to be attached to the document.

K. Grievance

The employee may grieve adverse employment actions (e.g. demotion, termination) taken as a result of the performance appraisal in accordance with M.O.M. Grievances, 3-0125 for non-union staff, or the applicable contractual grievance procedure for union members (see DOC 1.3.1 (A) DOC Personnel Manual).

1. Under agency policy, the following procedural errors are subject to a grievance:
 - a. Failure of the appraiser to inform the employee of the duties and responsibilities to be

Procedure No.: P & P 20-11	Chapter: Personnel	Page 4 of 9
Subject: PERFORMANCE APPRAISAL		

assessed;

- b. Failure of the appraiser to make written comments explaining other than standard ratings;
 - c. Failure of the appraiser to provide the employee with an opportunity to review ratings and supporting comments, when completed;
 - e. Failure of the appraiser to advise the employee of the right to submit a written rebuttal to be attached to the written appraisal (the notice of the right to file a rebuttal on the form is sufficient notice); and
 - f. Failure to make available to the employee a copy of the written appraisal and any reviewer's comments.
2. No employee may file a grievance based on the content of their performance appraisal, including the duties, responsibilities, and/or standards applied, nor may they grieve actual ratings or any comments placed on a completed performance appraisal.
 3. Employees who have not completed the probationary period may not grieve any aspect of the appraisal.

L. Records

A copy of the performance appraisal and rebuttal comments, if any, shall be permanently retained in the employee's personnel file. Performance appraisal information should be kept confidential by supervisors except where necessary:

1. In work-related discussions with superiors or peer supervisory staff;
2. In work-related discussions with prospective employers of the employee (when other than state agencies, this must be authorized by the employee); and
3. When the disclosure is required in administrative or court proceedings.

PROCEDURE:

NEW EMPLOYEE ASSESSMENTS

1. New employee meets with supervisor within 30 days after hiring to review job profile, department objectives, and management goals.

Supervisor conducts Performance Planning Meeting to set performance goals and standards, review competency and performance levels. (Refer to forms list at the end of this policy to select the *Performance Assessment Record* outlining performance goals and standards for the various positions within P&P). The employee is encouraged to come up with at least one personal goal to place on the *Performance Assessment*.

Supervisor reviews the *Competency Assessment Record* and performance levels with employee. (Refer to forms list at the end of this policy to select the *Competency Assessment Record*

RESPONSIBILITY:

Supervisor/Employee

Supervisor/Employee

Supervisor

Procedure No.: P & P 20-11	Chapter: Personnel	Page 5 of 9
Subject: PERFORMANCE APPRAISAL		

outlining competencies for the various positions within P&P)

Each position within Community Corrections has the *Performance Assessment Record*, *Job Profile*, and *Competency Assessment Record* attached to this policy. (See **Forms** list below for appropriate forms for each job position.)

Employee and supervisor sign the *Performance Assessment Record* and the *Competency Assessment Record* outlining what the employee will be evaluated on during the probationary period. The employee and supervisor keep a copy of these documents with the original being forwarded to the State Personnel Office for placement in the Personnel File.

Supervisor/Employee

2. Supervisor observes, coaches and assesses performance. Supervisor provides timely feedback, guidance, encouragement, and support and conducts reviews with employee as needed. Supervisors may utilize P&P 20-11 (GG) *Coach Training Form* to document coaching sessions.

Supervisor

The supervisor will talk with both department and non-department employees throughout the assessment period who work with the employee relative to the employee's job performance. This may include colleagues, institutional contacts, prerelease contacts, judges, county attorneys, treatment providers, etc.

Supervisor

3. The Helena Office Personnel Unit or designee will give the supervisor and employee thirty days notice of the pending appraisal prior to the end of the probationary term. The supervisor is required to schedule the interview date and time with the employee within the thirty-day period.

Helena Personnel Office

Supervisor completes the *Performance Assessment Record* and the *Competency Assessment Record* on the employee and forwards to their immediate supervisor for review.

Supervisor

Supervisor meets personally with new employee and conducts probationary evaluations at 3 months, 6 months and the final probationary review at 12 months.

Supervisor/Employee

Supervisor meets with the employee and reviews *Performance Assessment Record* and *Competency Assessment Record* and discusses the staff's performance relative to their performance goals and standards. Problem areas and areas of strength are discussed with employee. Plan is set in place to overcome identified shortcomings in competency or results achievement using P&P 20-11 (F) *Individual Performance Improvement Plan*.

Supervisor/Employee

Procedure No.: P & P 20-11	Chapter: Personnel	Page 6 of 9
Subject: PERFORMANCE APPRAISAL		

Upon completion of each evaluation period (3, 6 & 12 month), the supervisor and employee sign the evaluation and the original is forwarded to the P&P Bureau Chief for signature. The P&P Bureau Chief will sign and forward to the State Personnel Office for placement in the employees Personnel File.

Supervisor

If the employee has satisfactorily completed his/her probationary period, the employee will be placed on annual review. The supervisor will conduct the Performance Planning meeting for the next 12-month evaluation period on this date. See procedures outlined below under “Annual Reviews – Regular Employees”.

Supervisor/Employee

If the employee has satisfactorily completed his/her probationary period and has met all requirements, the Supervisor will complete *P&P 220-1 (B) Request to Implement A Career Increment – Broadband Pay* upon completion of staff’s annual evaluation for placing the employee on the proper pay increment. Once completed, these forms are forwarded to Human Resources for processing

Regional Administrator/
POII

Employees who have not completed the probationary period may not grieve any aspect of the appraisal. Supervisors need to remember that an employee new to state government that has never served a probationary period in a job position can be dismissed during this probationary period. However, if the new employee has been in state government and has already served a probationary period in another job capacity, the supervisor will need to use the disciplinary procedures as outlined in policy DOC 1.3.2 to address problems in performance, up to and including termination.

ANNUAL REVIEWS – REGULAR EMPLOYEES

1. Supervisor conducts Performance Planning Meeting to set performance goals and standards, review competency and performance levels. (Refer to forms list at the end of this policy to select the *Performance Assessment Record* outlining performance goals and standards for the various positions within P&P). The employee is encouraged to come up with at least one personal goal to place on the *Performance Assessment*.

Supervisor/Employee

Supervisor reviews the *Competency Assessment Record* and performance levels with employee. (Refer to forms list at the end of this policy to select the *Competency Assessment Record* outlining competencies for the various positions within P&P).

Supervisor

Each position within Community Corrections has the *Performance Assessment Record*, *Job Profile*, and *Competency Assessment Record* attached to this policy. See **Forms** list below for appropriate forms for each job position.)

Procedure No.: P & P 20-11	Chapter: Personnel	Page 7 of 9
Subject: PERFORMANCE APPRAISAL		

Employee and supervisor sign the *Performance Assessment Record* and the *Competency Assessment Record* outlining what the employee will be evaluated on during the assessment period. The employee and supervisor keep a copy of these documents with the original being forwarded to the State Personnel Office for placement in the Personnel File.

Employee/Supervisor

2. Supervisor observes, coaches and assesses performance. Supervisor provides timely feedback, guidance, encouragement, and support. Supervisors may utilize *P&P 20-11 (GG) Coach Training Form* to document coaching sessions.

Supervisor

The supervisor will talk with both department and non-department employees throughout the year who work with the employee relative to the employee's job performance. This may include colleagues, institutional contacts, prerelease contacts, judges, county attorneys, treatment providers, etc.

Supervisor

3. The Helena Office Personnel Unit or designee will give the supervisor and employee thirty days notice of the pending appraisal prior to the end of the probationary term. The supervisor is required to schedule the interview date and time with the employee within the thirty-day period.

Helena Personnel Office

Supervisor meets personally with employee as needed throughout the year and goes over the evaluation and discusses the employee's performance relative to the performance goals and standards. Problem areas and areas of strength are discussed with employee. Plan is set in place to overcome identified shortcomings in competency or results achievement using *P&P 20-11 (F) Individual Performance Improvement Plan*.

Supervisor/Employee

4. Supervisor completes *Performance Assessment Record* and *Competency Assessment Record* on the employee and forwards to immediate supervisor for review.

Supervisor

5. Supervisor meets with employee and reviews *Performance Assessment and Competency Assessment Record*. Employee and supervisor sign documents. Original is forwarded to the P&P Bureau Chief for signature. The P&P Bureau Chief will forward the original copy to the State Personnel Office for placement in the employee's personnel file. A copy is provided to the employee.

Supervisor/Employee

If the employee has met all requirements Supervisor will complete *P&P 220-1 (B) Request to Implement A Career Increment – Broadband Pay* upon completion of staff's annual evaluation for placing the employee on the proper pay increment. Once completed, these forms are forwarded to Human Resources for

Regional Administrator/
POII

Procedure No.: P & P 20-11	Chapter: Personnel	Page 8 of 9
Subject: PERFORMANCE APPRAISAL		

processing.

Supervisor and employee talk about any new goals that the employee may have for the next evaluation period. The *Performance Assessment* and *Competency Assessment* are reviewed for the next annual review.

Supervisor/Employee

New *Performance Assessment Record* and *Competency Assessment Record* that the employee will be evaluated on is signed by employee and supervisor and forwarded to the State Personnel Office for inclusion in the employees personnel file.

Supervisor

6. The employee has three options with the Performance Assessment.

Employee

- Accept the report as written.
- If the employee disagrees with the appraisal, the employee has a right to submit, within ten working days, a written rebuttal to be attached to the document. The employee may elect to provide written comments, not as a rebuttal or formal appeal, but simply to further illuminate or clarify the record from his/her own perspective. These comments will be attached to the final documentation and become a permanent part of the record. There is no format or form for employee comments. They can be prepared on plain paper. No action other than reading and acknowledging the comments is required from the supervisor. But it is possible that the employee may bring up information the supervisor has not adequately considered and a revision to the report may be undertaken as a result. If the employee disagrees with the appraisal, the employee has a right to submit, within ten working days, a written rebuttal to be attached to the document.
- The third option is to grieve the assessment subject to the limitations listed in K.1.above.

V. **CLOSING:** Questions concerning this procedure shall be directed to the Regional Administrator or designee.

Forms

P&P 20-11 (A)	Performance Management Program - Manual
P&P 20-11 (B)	Supervisor's Checklist
P&P 20-11 (C)	Employee Checklist
P&P 20-11 (D)	Performance Planning Worksheet
P&P 20-11 (E)	Individual Performance Development Plan
P&P 20-11 (F)	Individual Performance Improvement Plan
P&P 20-11 (I)	Adult P&P Bureau Chief Job Profile
P&P 20-11 (J)	Adult P&P Bureau Chief Competency Assessment Record

Procedure No.: P & P 20-11	Chapter: Personnel	Page 9 of 9
Subject: PERFORMANCE APPRAISAL		

P&P 20-11 (K)	Adult P&P Bureau Chief Performance Assessment Record
P&P 20-11 (L)	Regional Administrator Job Profile
P&P 20-11 (M)	Regional Administrator Competency Assessment Record
P&P 20-11 (N)	Regional Administrator Performance Assessment Record
P&P 20-11 (O)	Adult Probation & Parole Supervisor Job Profile
P&P 20-11 (P)	Adult Probation & Parole Supervisor Competency Assessment Record
P&P 20-11 (Q)	Adult Probation & Parole Supervisor Performance Assessment Record
P&P 20-11 (R)	Adult Probation & Parole Officer Job Profile
P&P 20-11 (S)	Adult Probation & Parole Officer Competency Assessment Record
P&P 20-11 (T)	Adult Probation & Parole Officer Performance Assessment Record
P&P 20-11 (U)	IPPO Job Profile
P&P 20-11 (V)	IPPO Competency Assessment Record
P&P 20-11 (W)	IPPO Performance Assessment Record
P&P 20-11 (X)	ISP Job Profile
P&P 20-11 (Y)	ISP Competency Assessment Record
P&P 20-11 (Z)	ISP Performance Assessment Record
P&P 20-11 (AA)	Parole Officer Technician Job Profile
P&P 20-11 (BB)	Parole Officer Technician Competency Assessment Record
P&P 20-11 (CC)	Parole Officer Technician Performance Assessment Record
P&P 20-11 (DD)	Administrative Support Job Profile
P&P 20-11 (EE)	Administrative Support Competency Assessment Record
P&P 20-11 (FF)	Administrative Support Performance Assessment Record
P&P 20-11 (GG)	Coach Training Form
P&P 220-1 (B)	Request to Implement A Career Increment – Broadband Pay